

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Kelly, Albert

Senior Advisor to the Administrator, Environmental Protection Agency

Date of Appointment: 04/23/2017

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Kelly, Albert [electronically signed on 08/02/2017 by Kelly, Albert in Integrity.gov] - Filer received a 90 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 02/13/2018

Data Revised 02/10/2018

Data Revised 02/09/2018

Data Revised 02/04/2018

Data Revised 02/02/2018

Data Revised 01/31/2018

Data Revised 01/24/2018

Data Revised 01/23/2018

Data Revised 11/02/2017

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|----|------------------------------------|--------------------------------|------------------------------|---------------|---------|---------|
| 1 | SpiritBank | Tulsa, Oklahoma | Corporation | Chairman | 10/2012 | 4/2017 |
| 2 | Premier Steel Services | Tulsa, Oklahoma | Corporation | Manager | 1/2009 | Present |
| 3 | Oklahoma Turnpike Authority | Oklahoma City, Oklahoma | Instrumentality of the State | Chairman | 2/2011 | 4/2017 |
| 4 | Kelly Ranch | Bristow, Oklahoma | sole proprietorship | owner | 1/1977 | Present |
| 5 | ACK, JR. FAMILY LLC | BRISTOW, Oklahoma | Corporation | MANAGER | 9/2008 | Present |
| 6 | AK KELLY FAMILY LLC | BRISTOW, Oklahoma | Corporation | MANAGER | 6/2008 | Present |
| 7 | KK KELLY FAMILY LLC | BRISTOW, Oklahoma | Corporation | MANAGER | 6/2008 | Present |
| 8 | TK KELLY FAMILY LLC | BRISTOW, Oklahoma | Corporation | MANAGER | 6/2008 | Present |
| 9 | CK KELLY FAMILY LLC | BRISTOW, Oklahoma | Corporation | MANAGER | 6/2008 | Present |
| 10 | KATHARINE REWERTS KELLY FAMILY LLC | BRISTOW, Oklahoma | Corporation | MANAGER | 5/2007 | Present |
| 11 | KATHARINE KELLY CABIN LLC | GREEN MOUNTAIN FALLS, Colorado | Corporation | MANAGER | 9/2008 | Present |
| 12 | KELLY & CORNELL LLC | BRISTOW, Oklahoma | Corporation | MANAGER | 1/2002 | Present |
| 13 | OLP LLC | Edmond, Oklahoma | Corporation | MANAGER | 7/2002 | 3/2016 |

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|----|---------------------|--------------------------|-------------------|---------------|--------|---------|
| 14 | NEW STEEL LLC | TULSA, Oklahoma | Corporation | MANAGER | 1/2013 | Present |
| 15 | ACK ENTERPRISES LLC | OKLAHOMA CITY,, Oklahoma | Corporation | MANAGER | 7/2008 | Present |

2. Filer's Employment Assets & Income and Retirement Accounts

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---------|--|-------------|---------------------------|--|---------------------------|
| 1 | ACK, JR. FAMILY LLC (LLC HOLDING COMPANY) | See Endnote | No | | |
| 1.1 | Katharine Kelly Cabin LLC | See Endnote | No | | None (or less than \$201) |
| 1.2 | KK KELLY FAMILY LLC | See Endnote | No | | None (or less than \$201) |
| 1.3 | TK KELLY FAMILY LLC | No | | | |
| 1.3.1 | KATHARINE REWERTS KELLY FAMILY LLC | No | \$1,000,001 - \$5,000,000 | Farming income and rent or royalties from oil & gas leases | \$91,607 |
| 1.3.1.1 | Farmland (Crops), Wichita & Kearny Counties, Kansas | N/A | | | |
| 1.3.1.2 | Oil, gas, and mineral interests, Wichita & Kearny Counties, Kansas | See Endnote | N/A | | |
| 1.4 | CK KELLY FAMILY LLC | No | \$500,001 - \$1,000,000 | | None (or less than \$201) |
| 1.4.1 | Farm & Pasture land, Creek County, OK | N/A | | | |
| 1.5 | AK KELLY FAMILY LLC | No | \$500,001 - \$1,000,000 | | None (or less than \$201) |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-------------|-----|-------|---|---------------|
| 1.5.1 | Farm & Pasture land, Creek County, OK | | | | | |
| 2 | Kelly Ranch, Creek County, OK, Sole Proprietor, (Livestock) | See Endnote | No | | cattle sales & rent/royalties from Oil & Gas leases | \$437,284 |
| 2.1 | Royalty interest in oil, gas, and other minerals, Texas County, OK | See Endnote | | | | |
| 2.2 | Royalty interest in oil, Gas, and other mineral interests, Okmulgee County, OK | See Endnote | | | | |
| 2.3 | Royalty interest in oil, gas, and other minerals, Creek County OK | See Endnote | | | | |
| 2.4 | Royalty interest in oil, gas, and other mineral interests, Cimarron County, OK | See Endnote | | | | |
| 2.5 | Royalty interest in oil, gas, mineral interests, Lincoln County, OK | See Endnote | | | | |
| 2.6 | Working interest in oil and gas leasehold equipment on "Kelly Willingham" lease, Creek County, OK | | | | | |
| 2.7 | Royalty interest in oil, gas, mineral lease, McPherson Co., Kansas | See Endnote | | | | |
| 2.8 | Royalty interest in oil, gas, mineral lease, Reno Co. Kansas | See Endnote | | | | |
| 2.9 | Royalty interest in oil, gas, mineral lease, Rice Co., Kansas | See Endnote | | | | |
| 2.10 | Interest in oil, gas & other minerals, Upton Co., Texas | See Endnote | | | | |
| 2.11 | Oil lease, Eagle Road Oil, Tulsa, OK | | N/A | | | |
| 2.12 | Oil Lease, Niko Resources, LTD, Calgary, Alberta, Canada | See Endnote | | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-------------|-----------------------------|---------------------------------|---------------------------|
| 2.13 | Natural Gas Lease, A-2 Productions Ltd., Bristow, OK | N/A | | | |
| 3 | KELLY & CORNELL LLC | See Endnote | No | \$500,001 - \$1,000,000 | None (or less than \$201) |
| 3.1 | SpiritBank Stock | No | \$500,001 - \$1,000,000 | | None (or less than \$201) |
| 4 | NEW STEEL LLC | See Endnote | N/A | | |
| 4.1 | ACK ENTERPRISES LLC | See Endnote | N/A | | |
| 4.1.1 | Premier Steel Services Stock | See Endnote | No | Value not easily ascertainable. | |
| 5 | Premier Steel Services (Steel Fabrication) | N/A | | Distribution + Director Fees | \$12,061 |
| 6 | SpiritBank | N/A | | | |
| 6.1 | SpiritBank deferred compensation received | N/A | | Cash Payment | \$440,820 |
| 6.2 | SpiritBank | N/A | | Salary | \$736,225 |
| 6.3 | SpiritBank | N/A | | Director Fees | \$21,000 |
| 6.4 | SpiritBank, Employee Stock Ownership Account | No | None (or less than \$1,001) | | None (or less than \$201) |
| 6.5 | SpiritBank, deferred compensation: cash receivable | N/A | \$500,001 - \$1,000,000 | | None (or less than \$201) |
| 7 | OLP LLC | See Endnote | No | None (or less than \$1,001) | None (or less than \$201) |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|---------------------------------|-------------------|---|--------|
| 1 | SpiritBank Defined Benefit Plan | Tulsa, Oklahoma | It will be distributed at the mandatory age | 9/1984 |
| 2 | SpiritBank 401K Plan | TULSA, Oklahoma | I will not participate in this defined contribution plan after my separation. | 9/1984 |
| 3 | SpiritBank | Tulsa, Oklahoma | Salary Continuation Settlement | 8/2000 |
| 4 | Kelly Ranch | Bristow, Oklahoma | Owner and operator | 1/1977 |

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

| # | SOURCE NAME | CITY, STATE | BRIEF DESCRIPTION OF DUTIES |
|---|------------------------------------|-------------------|-----------------------------|
| 1 | SPIRITBANK | TULSA, Oklahoma | CHAIRMAN OF THE BOARD |
| 2 | PREMIER STEEL SERVICES | TULSA, Oklahoma | MANAGER |
| 3 | KELLY RANCH | BRISTOW, Oklahoma | OWNER/OPERATOR |
| 4 | KATHARINE REWERTS KELLY FAMILY LLC | BRISTOW, Oklahoma | MANAGER |

5. Spouse's Employment Assets & Income and Retirement Accounts

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|-------------------------------|-----|---------------------|-------------|-----------------|
| 1 | BROKEN ARROW PUBLIC SCHOOLS | N/A | | salary | |
| 2 | INDIVIDUAL RETIREMENT ACCOUNT | | \$15,001 - \$50,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|--------------------|-------------|---------------------------|
| 2.1 | Putnam Multicap Growth Fund Share Class A PNOPX | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 2.2 | Putnam Growth Opportunity Fund Share Class A POGAX | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|-----------------------------|-------------|---------------------------|
| 1 | BEHRINGER HARVARD FUNDS REIT | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2 | KELLY BROTHERS (Family Owned Business) See Endnote | No | \$100,001 - \$250,000 | | None (or less than \$201) |
| 3 | WELLS FARGO ADVISORS IRA | No | \$50,001 - \$100,000 | | None (or less than \$201) |
| 3.1 | Walt Disney Co | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.2 | Visa Inc | N/A | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 |
| 3.3 | Cash | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 4 | TRUST COMPANY OF OKLAHOMA IRA | No | \$250,001 - \$500,000 | | None (or less than \$201) |
| 4.1 | SpiritBank Stock | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 5 | HEALTH SERVICES LLC See Endnote | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 6 | US Bank Deposits (cash) | No | \$500,001 - \$1,000,000 | Interest | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|----------------------------|---------------------------|
| 7 | WELLS FARGO BROKERAGE ACCOUNT | No | \$250,001 - \$500,000 | Dividends Capital Gains | \$5,001 - \$15,000 |
| 7.1 | AERCAP HLDGS NV AER | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.2 | AGCO CORP AGCO | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.3 | ALLERGAN PLC AGN | No | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 7.4 | ALLIANCE RESOURCES PARTNERS LP ARLP | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.5 | ALPHABET INC VOTING CAP STK CL A GOOGL | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.6 | ALPS ETF TR ETF BARRONS 400 ETF BFOR | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.7 | AMAZON COM INC AMZN | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.8 | Axon ENTERPRISE INC AAXN | No | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7.9 | BANK OF AMERICA CORP BAC | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.10 | BIOGEN INC BIIB | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.11 | BIOVERATIV INC BIWV | No | None (or less than \$1,001) | | None (or less than \$201) |
| 7.12 | BROOKFIELD INFRASTRUCTURE PARTNERS LP BIP | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.13 | CHESAPEAKE ENERGY CORP CHK | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.14 | CONOCOPHILLIPS COP | No | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------------|-------------|---------------------------|
| 7.15 | DIAMYD MED AB SHS B | No | None (or less than \$1,001) | | None (or less than \$201) |
| 7.16 | GRACO INCORPORATED COM GGG | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.17 | HP INC HPQ | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.18 | Nautilus Inc NLS | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.19 | NGL ENERGY PARTNERS LP NGL | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.20 | PHILLIPS 66 PSX | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.21 | PHILLIPS 66 PARTNERS LP PSXP | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.22 | POWERSHARES AEROSPACE & DEFENSE PORTFOLIO PPA | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.23 | POWERSHARES QQQ TR ETF SERIES 1 | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.24 | SEALED AIR CORP NEW SEE | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.25 | SONIC CORP SONC | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.26 | SPDR S&P REGNL BNKG ETF KRE | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.27 | TWENTY-FIRST CENTY CL A FOXA | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 7.28 | UMPQUA HLDGS CORP UMPQ | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.29 | WISDOMTREE L/C DVD FD DLN | No | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.30 | Cash Deposits | No | \$15,001 - \$50,000 | Interest | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-------------------------|----------------------------|------------------------------|
| 8 | WELLS FARGO FUNDAMENTAL CHOICE MANAGED ACCOUNT | No | \$50,001 - \$100,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 8.1 | BLACKROCK INC BLK | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.2 | BLACKSTONE GROUP LP/THE BX | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.3 | IDEXX LABORATORIES INC IDXX | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.4 | ISHARES ETF EDGE MSCI MIN VOL EAFE EFAV | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.5 | ISHARES ETF U.S. INDUSTRIALS IYJ | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.6 | ISHARES ETF INTERMEDIATE CREDIT BOND CIU | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.7 | ISHARES INDIA 50 ETF INDY | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.8 | ISHARES MSCI ETF EMERGING MARKETS EEM | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.9 | ISHARES MSCI EAFE ETF SMALL CAP SCZ | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.10 | ISHARES S&P 500 ETF GROWTH IVW | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.11 | LOCKHEED MARTIN CORP LMT | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.12 | MICROSOFT CORP MSFT | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.13 | POWERSHARES EM MAR ETF SOV DE PT PCY | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|---------------------------|-------------|---------------------------|
| 8.14 | VERTEX PHARMACEUTICALS INC VRTX | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.15 | VISA INC CLASS A V | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.16 | ABERDEEN FDS EMERGING MARKETS FUND INSTITUTIONAL CLASS I ABEMX | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.17 | BARON SELECT FUNDS PARTNERS FD INSTL SHS BPTIX | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.18 | PIMCO SHORT TERM FD INST CL PTSHX | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.19 | GABELLI DIVIDEND & INCOME TRUST GDV | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.20 | Cash Deposits | No | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9 | JOHN HANCOCK (Whole Life) | No | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 10 | SpiritBank Stock | No | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 11 | Spirit Bank 401k: Mass Mutual RetireSmart 2020 Fund | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

| # | CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|-------------------------------|---------------------------------------|---------------------------|---------------|------|--------------------------------------|
| 1 | OKLAHOMA AG CREDIT | Mortgage (investment/rental property) | \$1,000,001 - \$5,000,000 | 2015 | 3.8% | 30 YEAR AMORTIZATION, 3 YEAR BALLOON |
| 2 | KABOTA CREDIT CORPORATION USA | TRACTOR LOAN | \$15,001 - \$50,000 | 2015 | 0 | 60 MONTHS |
| 3 | CITIZENS STATE BANK | CATTLE LINE OF CREDIT | \$100,001 - \$250,000 | 2015 | 6% | ANNUAL |

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

| PART | # | ENDNOTE |
|------|---------|---|
| 2. | 1 | This LLC holds Katharine Kelly Cabin LLC, AK Kelly Family LLC, CK Kelly Family LLC, KK Kelly Family LLC, and TK Kelly Family LLC. |
| 2. | 1.1 | This LLC holds only a personal residence. It does not generate income. |
| 2. | 1.2 | This LLC holds no assets (2015-2017). |
| 2. | 1.3.1.2 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2 | Livestock income: \$396,000 Rent & Royalties from oil, gas, & mineral rights: \$40,000 |
| 2. | 2.1 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2.2 | Amounts for value and income are included in the total value and income of the parent asset. |

| PART | # | ENDNOTE |
|------|-------|--|
| 2. | 2.3 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2.4 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2.5 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2.7 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2.8 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2.9 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2.10 | Amounts for value and income are included in the total value and income of the parent asset. |
| 2. | 2.12 | Original lease was with Black Gold Energy of Sweet Water Texas. Black Gold Energy was acquired by Niko Resources LTD in 2009. Niko Resources LTD operates the lease. |
| 2. | 3 | THis LLC holds a membership in Founders Partners LLC which owns an interest in Commercial real estate in Oklahoma County, OK. |
| 2. | 4 | This LLC is a holding company for Premier Steel company stock. |
| 2. | 4.1 | This LLC holds Premier Steel company stock. |
| 2. | 4.1.1 | There is no current valuation of the company, nor is the company traded. Asset is a steel company bought out of bankruptcy. |
| 2. | 7 | OLP LLC held a private residence that was sold in 2016. This LLC has held no assets since that time. |
| 6. | 2 | Minority share in family owned business. |
| 6. | 5 | Health Services LLC is now defunct. It holds no assets and generates no income. |
| 6. | 11 | This asset was sold on 12/27/17. New assets were not bought until 2018. These have been reported, and will be included in 2018 transaction reports and 2018 annual report. |

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
